

Community Services Block Grant (CSBG) Model State Plan

CSBG Cover Page (SF-424M)

Section 1: CSBG Administrative Information	2
Section 2: State Legislation and Regulation	5
Section 3: State Plan Development and Statewide Goals	6
Section 4: CSBG Hearing Requirements	10
Section 5: CSBG Eligible Entities	12
Section 6: Organizational Standards for Eligible Entities	14
Section 7: State Use of Funds	17
Section 8: State Training and Technical Assistance	23
Section 9: State Linkages and Communication	21
Section 10: Monitoring, Corrective Action, and Fiscal Controls	29
Section 11: Eligible Entity Tripartite Board	43
Section 12: Individual and Community Income Eligibility Requirements	45
Section 13: Results Oriented Management and Accountability (ROMA) System	46
Section 14: CSBG Programmatic Assurances and Information Narrative	49
Section 15: Federal Certifications	58

Section 1: CSBG Administrative Information

1.1. Identify whether this is a one-year or a two-year plan. **Two Year**

1.1a. Provide the federal fiscal years this plan covers: **Year One 2019-2020 Year Two 2020-2021**

1.2. **Lead Agency:** Update the following information in relation to the lead agency designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act. Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.

Has information in regards to the state lead agency changed since the last submission of the state plan? **No**

If yes, provide the date of change and select the fields that have been updated

- | | | |
|--|--|--|
| <input type="checkbox"/> Lead Agency | <input type="checkbox"/> Department Type | <input type="checkbox"/> Department Name |
| <input type="checkbox"/> Authorized Official | <input type="checkbox"/> Street Address | <input type="checkbox"/> City |
| <input type="checkbox"/> Zip Code | <input type="checkbox"/> Office Number | <input type="checkbox"/> Fax Number |
| <input type="checkbox"/> Email Address | <input type="checkbox"/> Website | |

1.2a. Lead agency **NC Department of Health and Human Services/ Office of Economic Opportunity**

1.2b. Cabinet or administrative department of this lead agency [**Check One and narrative where applicable**]

- Community Affairs Department
- Community Services Department
- Governor's Office
- Health Department
- Housing Department
- Human Services Department
- Social Services Department
- Other, describe: **NC Department of Health and Human Services**

1.2c. **Cabinet or Administrative Department Name:** Provide the name of the cabinet or administrative department of the CSBG authorized official

Health and Human Services Department

1.2d. Authorized official of the lead agency. The authorized official could be the director, secretary, commissioner etc. as assigned in the designation letter (attached under item 1.3.). The authorized official is the person indicated as authorized representative on the SF-424M.

Name Mandy Cohen, MD Title Secretary

- 1.2e. Street Address [101 Blair Drive, Adams Building](#)
- 1.2f. City [Raleigh](#)
- 1.2g. State [North Carolina](#)
- 1.2h. Zip Code [27603](#)
- 1.2i. Work Telephone Number and Extension (if applicable) [919-855-4810](#)
- 1.2j. Fax Number [919-715-4645](#)
- 1.2k. Email Address Mandy.Cohen@dhhs.nc.gov
- 1.2l. Lead Agency Website <http://www.ncdhhs.gov/>

Note: Item 1.2. pre-populates the Annual Report, Module 1, Item A.1.

- 1.3. **Designation Letter:** Attach the state’s official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or designated agency has changed. **[Attach a document.]**
- 1.4. **CSBG Point of Contact:** Provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.

Has information regarding to the state point of contact changed since the last submission of the state plan? No

If yes, provide the date of change and select the fields that have been updated

- | | | |
|--|---|---|
| <input type="checkbox"/> Agency Name | <input type="checkbox"/> Point of Contact | <input type="checkbox"/> Street Address |
| <input type="checkbox"/> City | <input type="checkbox"/> State | <input type="checkbox"/> Zip Code |
| <input type="checkbox"/> Office Number | <input type="checkbox"/> Fax Number | <input type="checkbox"/> Email Address |
| <input type="checkbox"/> Website | | |

- 1.4a. Agency Name [Office of Economic Opportunity](#)
- 1.4b. Point of Contact Name
Name [Melvin L. Williams Jr.](#) **Title** [Director](#)
- 1.4c. Street Address [820 S. Boylan Avenue, McBryde Building](#)
- 1.4d. City [Raleigh](#)
- 1.4e. State [North Carolina](#)
- 1.4f. Zip Code [27603](#)
- 1.4g. Office Telephone Number [919-527-6250](#)
- 1.4h. Fax Number [919-715-0168](#)
- 1.4i. Email Address Melvin.williams@dhhs.nc.gov
- 1.4j. Agency Website <http://www.ncdhhs.gov/oeo>

1.5. Provide the following information in relation to the State Community Action Association.

There is currently a state Community Action Association within the state. **Yes**

Has information in regards to the state Community Action Association changed since the last submission of the state plan? **No**

If yes, provide the date of change and select the fields that have been updated.

- | | | |
|--|---|---|
| <input type="checkbox"/> Agency Name | <input type="checkbox"/> Executive Director | <input type="checkbox"/> Street Address |
| <input type="checkbox"/> City | <input type="checkbox"/> State | <input type="checkbox"/> Zip Code |
| <input type="checkbox"/> Office Number | <input type="checkbox"/> Fax Number | <input type="checkbox"/> Email Address |
| <input type="checkbox"/> Website | <input type="checkbox"/> RPIC Lead | |

1.5a. Agency name **North Carolina Community Action Association**

1.5b. Executive Director or Point of Contact

Name **Sharon Goodson** **Title** **Executive Director**

1.5c. Street Address **4428 Louisburg Rd. Suite 101d**

1.5d. City **Raleigh**

1.5e. State **North Carolina**

1.5f. Zip Code **27616**

1.5g. Telephone Number **919-790-5757**

1.5h. Fax Number **919790-5767**

1.5i. Email Address **sharon.goodson@nccaa.net**

1.5j. State Association Website **https://www.nccaa.net/**

1.5k. State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead **Yes**

Section 2: State Legislation and Regulation

- 2.1. CSBG State Legislation:** State has a statute authorizing CSBG. Yes
- 2.2. CSBG State Regulation:** State has regulations for CSBG. Yes
- 2.3. Legislation/Regulation Document:** Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Items 2.1. and/or Item 2.2. **[Attach a document and/or provide a link, 1500 characters]**

<http://reports.oah.state.nc.us/ncac/title%2010a%20-%20health%20and%20human%20services/chapter%2097%20-%20economic%20opportunity/chapter%2097%20rules.pdf>

The link provided is Chapter 97 of Title 10A of the North Carolina Administrative Code 10A NCAC 97, Office of Economic Opportunity.

- 2.4. State Authority:** Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:
- 2.4a. Authorizing Legislation:** State legislature enacts authorizing legislation or amendments to an existing authorizing statute last federal fiscal year. No
- 2.4b. Regulation Amendments:** State established or amended regulations for CSBG last federal fiscal year. No
- 2.4c. Designation:** State statutory or regulatory authority designates the bureau, division, or office in the state government that is to be the state administering agency. Yes

Section 3: State Plan Development and Statewide Goals

- 3.1. CSBG Lead Agency Mission and Responsibilities:** Briefly describe the mission and responsibilities of the state agency that serves as the CSBG lead agency.

In collaboration with its partners, the Office of Economic Opportunity mission is to support low-income individuals and families achieve physical, social, and economic wellbeing.

The primary duty of OEO is to administer the Community Services Block Grant to 34 Community Action Agencies. The CAAs are agencies provides comprehensive case management services inclusive of, but not limited to, job creation and employment, fiscal management and counseling, health/nutrition services, education/training, information & referral and emergency financial assistance. OEO administers this federal grant by:

1. Allocating funding
2. Monitoring program performance and compliance
3. Providing technical assistance to CAA on program planning, CSBG funding utilization, and community integration
4. Assessing outcome data for the Community Action Agencies in North Carolina

- 3.2. State Plan Goals:** Describe the state's CSBG-specific goals for state administration of CSBG under this State Plan.

The primary goal of the North Carolina Community Services Block Grant Program is to provide funding to Community Action Agencies to carry out activities that will enable low-income families to move out of poverty. Community Services Block Grant specific goals under this plan include:

- (i) Increase the number of families attaining economic self-sufficiency (income above the poverty level based on household size),
- (ii) Improve the administrative efficiency of the Office through staff training and development and integration of the use of automation technology in all aspects of office operations.
- (iii) Build grantee and community capacity to plan, develop and deliver services.
- (iv) Build and maintain collaborative and integrated partnerships with Divisions within NC DHHS, other state cabinet-level agencies, local public and private human service organizations to promote effective and efficient utilization of existing resources.
- (v) Ensure results-based performance management through monitoring, assessment and evaluation standards.

Instructional Note: For examples of “goals,” see State Accountability Measure 1Sa(i).

Note: This information is associated with State Accountability Measure 1Sa(i) and pre-populates the state’s Annual Report, Module 1, Item B.1.

3.3. State Plan Development: Indicate the information and input the state accessed to develop this State Plan.

3.3a. Analysis of state-level tools [Check all that applies and narrative where applicable]

- State Performance Indicators and/or National Performance Indicators (NPIs)
- U.S. Census data
- State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- Monitoring Visits/Assessments
- Tools not identified above (specify) Annual Organizational Standards Assessment

3.3b. Analysis of local-level tools [Check all that applies and narrative where applicable]

- Eligible entity community needs assessments
- Eligible entity community action plans
- Public Hearings/Workshops
- Tools not identified above (e.g., state required reports) [specify] [Click or tap here to enter text.](#)

3.3c. Consultation with [Check all that applies and narrative where applicable]

- Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- State Association
- National Association for State Community Services Programs (NASCSPP)
- Community Action Partnership (The Partnership)
- Community Action Program Legal Services (CAPLAW)
- CSBG Tribal Training and Technical Assistance (T/TA) provider
- Regional Performance Innovation Consortium (RPIC)
- Association for Nationally Certified ROMA Trainers (ANCRT)
- Federal CSBG Office
- Organizations not identified above (specify) [Click or tap here to enter text.](#)

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the state took in developing the State Plan to involve the eligible entities.

Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the state’s annual report form.

The Office of Economic Opportunity led a State Plan Steering Committee. This committee included eligible entities representing each region of the state and the Community Action Association. Committee meetings to discuss the state plan development were in-person meetings or conference calls. These meetings were held from February – July 2019. The meetings were held in a Eastern and Central North Carolina or by conference call.

The Office of Economic Opportunity, in partnership with the NC Community Action Association, provided leadership and facilitation of the committee meetings. The typical process for the meeting meetings was to provide an overview of sections of the State Plan and to receive feedback from the committee members. All feedback was thoroughly considered and relevant feedback integrated into the final plan.

During these period where the committee was active, eligible entities were provided updates regarding the development and review of the state plan via e-mail /conference calls, public review/comment periods and public hearing. These forms of engagement and communication serve the dual purpose of providing eligible entities information and seeking feedback/suggestions for the State Plan.

Additionally, state staff completed review of eligible entities,needs assessment and performance data submitted quarterly in the development of the State Plan.

- 3.4b. Performance Management Adjustment:** Describe how the state has adjusted its State Plan development procedures under this State Plan, as compared to previous plans, in order to 1) encourage eligible entity participation and 2) ensure the State Plan reflects input from eligible entities? Any adjustment should be based on the state’s analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

Note: This information is associated with State Accountability Measures 1Sb(i) and (ii) and pre-populate the Annual Report, Module 1, Item B.1.

The Office of Economic Opportunity and the NC Community Action Association are completing the annual Regional Performance Innovation Consortium (RPIC) Combined Training and Technical Assistance Plan Template provided as part of the Organizational Standards Center of Excellence (OSCOE) to determine adjustments needed to develop the state plans according to the needs of the Community Action Network.

The 34 eligible entities are surveyed to determine their programmatic and fiscal needs. The results of the survey are reviewed and analyzed. This data is used, in part, to make adjustments to state plan development process.

OEO also, shares the results of the organizational standards assessments and the American Customer Service Index with the NC Community Action Network to

inform areas of strengths and weaknesses. Lastly an adjustment was made to how the state office provided an overview of key areas of the state plan and received feedback from eligible entities. The previous state plan overview was provided through four regional meetings but for the development of this state plan, OEO in partnership with the NC Community Action Association presented the overview of the state plan to the full body of the eligible entities at an NCCAA Council of Executive Directors meeting. During this meeting the dialogue, facilitated by OEO and NCCAA included receiving direct input and feedback from the executive directors of the local community action agencies.

3.5. Eligible Entity Overall Satisfaction: Provide the state’s target for eligible entity Overall Satisfaction during the performance period.

Instructional Note: The state’s target score will indicate improvement or maintenance of the states’ Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the state’s eligible entities.

Note: Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the state’s annual report form.

Year One Click or tap here to enter text. **Year Two** Click or tap here to enter text.

Section 4: CSBG Hearing Requirements

- 4.1. Public Inspection:** Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under Section 676(e)(2) of the Act.

The State Plan was made available for public inspection and August 15 through August 22, 2019. The State Plan and relevant notices were posted on the North Carolina Department of Health and Human Services website, Office of Economic Opportunity website; Community Action Agencies, North Carolina Community Action Association, and county departments of social services were provided a copy of the draft plan and asked to post a written copy of the public notice and the draft plan in areas of their agency accessible to the public for stakeholder and public review; and all Community Action Agencies, and the North Carolina Community Action Association were notified by e-mail of the public inspection/ comment period and the public hearing.

- 4.2. Public Notice/Hearing:** Describe how the state ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act.

Public notice of a public hearing on the NC CSBG State Plan was distributed to a statewide distribution list of media outlets, state agencies, local health departments, departments of social social services, community action agencies, other stakeholders. The public notice for an public inspection and public hearing was posted for 7 calendar days from August 15 through August 22, 2019. Notifications of the inspection period and public hearing were made, via e-mail, and state website postings, and posted in the Office of Economic Opportunity location.

- 4.3. Public and Legislative Hearings:** In the table below, specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

Instructional Note: A public hearing is required for each new submission of the State Plan. The date(s) for the public hearing(s) must have occurred in the year prior to the first federal fiscal year covered by this plan. Legislative hearings are held at least every three years, and must have occurred within the last three years prior to the first federal fiscal year covered by this plan.

Date	Location	Type of Hearing [Select an option]	If a Combined Hearing was held, confirm that the public was invited.
8/22/2019	820 S. Boylan Ave Dorothea Dix Campus McBryde Room 151 Raleigh, NC. 27603	Public Hearing	<input type="checkbox"/>

- 4.4.** Attach supporting documentation or a hyperlink for the public and legislative hearings.

A copy of the public notice is attached. Additionally, the link for the public hearing and public comment period is:

Section 5: CSBG Eligible Entities

5.1. CSBG Eligible Entities: In the table below, indicate whether eligible entity in the state public or private, the type(s) of entity, and the geographical area served by the entity.

CSBG Eligible Entity	Geographical Area Served (by county) [Provide all counties]	Public or Nonprofit	Type of Entity (choose all that apply)
[READ-ONLY]	[READ-ONLY]	[READ-ONLY]	[READ-ONLY]

Note: Table 5.1. pre-populates the Annual Report, Module 1, Table C.1.

5.2. Total number of CSBG eligible entities: ## **[This will automatically update based on Table 5.1.]**

5.3. Changes to Eligible Entities List: Within the tables below, describe any changes that have occurred to the Eligible Entities within the state since the last federal fiscal Year (FFY), as applicable.

One or more of the following changes were made to the eligible entity list:

- Designation and/or Re-Designation
- De-designations and/or Voluntary Relinquishments
- Mergers
- No Changes to Eligible Entities List

5.3a. Designation and Re-Designation: Identify any new entities that have been designated as eligible entities, as defined under Section 676A of the Act, since the last federal fiscal year. Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated) or that voluntarily relinquished its status as a CSBG eligible entity.

CSBG Eligible Entity	Type	Start Date	Geographical Area Served
Community Action Opportunitites	Designation	7/1/2019	Henderson, Polk, and Transylvania

5.3b. De-Designations and Voluntary Relinquishments: Identify any entities that are no longer receiving CSBG funding. Include any eligible entities have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last federal fiscal year.

CSBG Eligible Entity	Reason
Western Community Action	Voluntary relinquish

5.3c. Mergers: In the table below, provide information about any mergers or other combinations of two or more eligible entities that were each listed in the prior

year state plan.

Original CSBG Eligible Entities	Surviving CSBG Eligible Entity	New Name (as applicable)	DUNS No.
Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.

Section 6: Organizational Standards for Eligible Entities

Note: Reference IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*, for more information on Organizational Standards. Click [HERE](#) for IM 138.

6.1. Choice of Standards: Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period. **[Select one]**

- COE CSBG Organizational Standards
- Modified version of COE CSBG Organizational Standards
- Alternative set of organizational standards

Note: Item 6.1. pre-populates the Annual Report, Module 1, Item D.1.

6.1a. Modified Organizational Standards: In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale.

Click or tap here to enter text.

6.1b. Alternative Organizational Standards: If using an alternative set of organizational standards, attach the complete list of alternative organizational standards. **[Attachment (as applicable)]**

6.1c. Alternative Organizational Standards: If using an alternative set of organizational standards: 1) provide any changes from the last set provided during the previous State Plan submission; 2) describe the reasons for using alternative standards; and 3) describe how they are at least as rigorous as the COE- developed standards.

- There were no changes from the previous State Plan submission

Provide reason for using alternative standards

Click or tap here to enter text.

Describe rigor compared to COE-developed Standards

Click or tap here to enter text.

6.2. Implementation: Check the box that best describes how the state officially adopted organizational standards for eligible entities in the state in a manner consistent with the state's administrative procedures act. If "Other" is selected, provide a timeline and additional information, as necessary.

- Regulation
- Policy
- Contracts with eligible entities
- Other, describe: Guidance Memoranda; these documents serve as policy communication from the state office to eligible entities that the NCCAA

6.3. Organizational Standards Assessment: Describe how the state will assess eligible entities against organizational standards this federal fiscal year(s).

- Peer-to-peer review (with validation by the state or state-authorized third party)
- Self-assessment (with validation by the state or state-authorized third party)
- Self-assessment/peer review with state risk analysis
- State-authorized third party validation
- Regular, on-site CSBG monitoring
- Other

6.3a. Assessment Process: Describe the planned assessment process.

NC DHHS will use the CSBG Organizational Standards Center of Excellence Organizational Standards and Self-Assessment documents released by the Community Action Partnership to facilitate the assessment of eligible entities. The assessments will be both remote and onsite assessments and will require eligible entities to complete a self-assessments that are supported with documentation to validate the information reported during the self assessment.

Staff from the NC Office of Economic Opportunity review the self-assessments and supporting documentation. OEO staff will determine if the the eligible entity is or is not conforming to the Organization Standards. In areas that eligible entities is not conforming or there is a disagreement between the eligible entity and the OEO, additional documents may be presented and reviewed to determine if the organization is conforming with the standards. In areas determined as not met, OEO will work with eligible entities to develop and implement technical assistance and quality improvement plans as required in OCS IM-138.

Assessments for eligible entities will be completed annually. A technical assistance memorandum regarding organizational standards has been developed and distributed to the eligible entities. This memorandum provides key information to strengthen the overall performance management framework of CSBG in North Carolina. Additionally, the State Office routinely collaborates with NCCAA to target technical assistance and training needs to the eligible entities pertaining to the organizational standards.

6.4. Eligible Entity Exemptions: Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)? No

6.4a. Provide the specific eligible entities the state will exempt from meeting organizational standards, and provide a description and a justification for each exemption. Total Number of Exempt Entities: **[Auto – calculated]**

CSBG Eligible Entity	Exemption Provided	Description/Justification
Click or tap here to enter text.	Choose an item.	Click or tap here to enter text.

6.5. Performance Target: Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for the FFY(s) of this planning period.

Note: Item 6.5. is associated with State Accountability Measures 6Sa and pre-populate the Annual Report, Module 1, Table D.2.

Year One 75% **Year Two** 80%

Section 7: State Use of Funds

Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

7.1. Formula: Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities. **[Select one]**

- Historic
- Base + Formula
- Formula Alone
- Formula with Variables
- Hold Harmless + Formula
- Other

7.1a. Formula Description: Describe the current practice for allocating CSBG funds to eligible entities.

Availability of CSBG funds are determined based on federal grant award. Ninety percent of funding is disbursed to eligible entities. Annual funding for each eligible entity is calculated based on approved SAIPE poverty formula. Also, no eligible community action agency shall receive less than \$120,000 or 80 percent of their FFY 1982 allocation. In addition, per state rule, agencies are awarded any unspent funds from their prior state fiscal year allocation. Those allocation values are communicated in the new application packet, sent to eligible entities in October, prior to the beginning of the new state fiscal year, beginning July 1. Based upon those applications, contracts are developed, negotiated and executed prior to the beginning of the new state fiscal year.

7.1b. Statute: Does a state statutory or regulatory authority specify the formula for allocating “not less than 90 percent” funds among eligible entities?

Yes

7.2. Planned Allocation: Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and “not less than 90 percent funds” as described under Section 675C(a) of the CSBG Act. In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.

Note: This information pre-populates the state’s Annual Report, Module 1, Table E.2.

Year One Click or tap here to enter text.%

Year Two Click or tap here to enter text.%

Planned CSBG 90 Percent Funds – Year One

CSBG Eligible Entity	Funding Amount (\$)
Action Pathways	1,160,640
Alamance County	283,757
Blue Ridge Community Services Agency	456,973
Blue Ridge Opportunity Commission	198,874
Catawaba County Dep	217,208

CSBG Eligible Entity	Funding Amount (\$)
Charlotte Area Fund	2,500,678
Choanoke Area Development Association	368,432
Coastal Community	307,807
Community Action Opportunites	505,492
Davidson County	327,468
Eastern Carolina Human	825,962
Economic Improvement	298,926
Experiment in Self-Reliance	700,352
Four Square Community Action	156,431
Franklin-Vance Warren Opportunity	546,134
Gaston Communit Action	790,117
Greene Lamp	825,932
ICARE	262,012
Johnston-Lee-Harentte Community Action	638,774
Central Piedmont Community Aciton	1,035,987
Macon Program for Progress	120,000
Mountain Projects	214,681
Nash-Edgecombe Economic Development	527,217
Passage Home	1,045,081
Salisbury-Rowan Community Action	707,680
Sandhills Community Actin Program	367,340
Southeastern Community And Family	1,178,966
Telamon	567,456
Union County Community Action	274,267
WAMY Community Action	399,894
WAGES	289,777
Welfare Reform Liaison Project	1,583,802
Yadkin Valley Economic Development	332,158
North Carolina Commissin of Indian Affairs	110,560
Total	Auto-calculated

Planned CSBG 90 Percent Funds – Year Two

CSBG Eligible Entity	Funding Amount (\$)
Action Pathways	751,535
Alamance County	300,182
Blue Ridge Community Action	412,351
Blue Ridge Opporntnity Commission	211,344
Catawaba County Dep	238,273
Charlotte Area Fund	1,506,058
Choanoke Area Development Association	363,012
Coastal Community	289,783
	Click or tap here to enter dollar amount.
Davidson County	237,518
Eastern Carolina Human	806,374
Economic Improvement	271,062
Experiment in Self-Reliance	671,567
Four Square Community Action	120,000
Franklin-Vance Warren Opportunity	359,290

CSBG Eligible Entity	Funding Amount (\$)
Gaston Communit Action	783,622
Greene Lamp	732,070
ICARE	305,361
Johnston-Lee-Harentte Community Action	578,253
Central Piedmont Community Aciton	1,028,304
Macon Program for Progress	120,000
Mountain Projects	214,681
Nash-Edgecombe Economic Development	489,415
North Carolina Commission of Indian Affairs	110,560
Passage Home	1,150,520
Salisbury-Rowan Community Action	459,592
Sandhills Community Actin Program	373,380
Southeastern Community And Family	1,104,375
Telamon	282,919
Union County Community Action	221,185
WAMY Community Action	318,826
WAGES	230,179
Welfare Reform Liaison Project	814,396
Yadkin Valley Economic Development	322,417
Total	Auto-calculated

7.3. Distribution Process: Describe the specific steps in the state’s process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about state legislative approval or other types of administrative approval (such as approval by a board or commission).

In compliance with federal and state rules, NC ensures that 90 percent of CSBG funds are distributed to eligible entities in a timely process. Available funds are calculated/projected and included in the state biennial budget, approved by the state legislature. Concurrently, individual community action agency budgets are calculated and communicated to those agencies for next state fiscal year (July 1) contract development in October, 8 months in advance. Agency applications are then submitted to the state for review, modification and inclusion in the annual contract. Those contracts are executed prior to July 1, ensuring agencies have timely, full access to funding. In addition, each agency has the option to request a 2-month cash advance to ensure adequate cash-flow.

7.4. Distribution Timeframe: Does the state plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award? **Yes**

7.4a. Distribution Consistency: If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.

Click or tap here to enter text.

Note: Item 7.4 is associated with State Accountability Measure 2Sa and may pre-populate the state’s annual report form.

- 7.5. Performance Management Adjustment:** Describe the state’s strategy for improving grant and/or contract administration procedures under this State Plan as compared to past plans. Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any improvements, provide further detail.

Note: This information is associated with State Accountability Measure 2Sb and may pre-populate the state’s annual report form.

NC DHHS has diligently worked to improve grant and contract administration procedures over the past few years. In the past, there was a challenges associated with timely implementation of contracts, addition of prior-year balance amounts and contract revision/amendment processes. A review of the process was completed, including receiving input from eligible entities and other sources. Each of those issues identified has been addressed with significant improvements made in each. We continue to work to improve efficiency, timeliness and flexibility of the process.

Administrative Funds [Section 675C(b)(2) of the CSBG Act]

- 7.6. Allocated Funds:** Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State Plan.

Year One 5 % **Year Two** 5%

Note: This information pre-populates the state’s Annual Report, Module 1, Table E.4.

- 7.7. State Staff:** Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan.

Year One 10 **Year Two** 10

- 7.8. State FTEs:** Provide the number of state Full Time Equivalent (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan?

Year One 10 **Year Two** 10

Use of Remainder/Discretionary Funds [Section 675C(b) of the CSBG Act]

- 7.9. Remainder/Discretionary Funds Use:** Does the state have remainder/discretionary funds, as described in Section 675C(b) of the CSBG Act? **Yes**

If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below.

Note: This response will link to the corresponding assurance, Item 14.2.

Note: This information is associated with State Accountability Measures 3Sa and pre-populates the Annual Report, Module 1, Table E.7.

Year One 5% **Year Two** 5%

Use of Remainder/Discretionary Funds – Year One

Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned \$	Brief Description of Services and/or Activities
7.9a. Training/technical assistance to eligible entities	340,000	These planned services/activities will be described in State Plan Item 8.1 [Read Only]
7.9b. Coordination of State-operated programs and/or local programs	Click or tap here to enter text.	These planned services/activities will be described in State Plan Section 9, State Linkages and Communication [Read Only]
7.9c. Statewide coordination and communication among eligible entities	Click or tap here to enter text.	These planned services/activities will be described in State Plan Section 9, State Linkages and Communication [Read Only]
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	Click or tap here to enter text.	Click or tap here to enter text.
7.9e. Asset-building programs	Click or tap here to enter text.	Click or tap here to enter text.
7.9f. Innovation programs/activities by eligible entities or other neighborhood group	Click or tap here to enter text.	Click or tap here to enter text.
7.9g. State charity tax credits	Click or tap here to enter text.	Click or tap here to enter text.
7.9h. Other activities [Specify under Column 4]	610,070	Funds will go towards any Natural Disaster, (i.e. hurricanes, tornados, flooding etc.). In the event there is no natural disaster, funds will be allocated to eligible entities for a one time innovative project.
Totals	Auto-calculated	

Use of Remainder/Discretionary Funds – Year Two

Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned \$	Brief Description of Services and/or Activities
7.9a. Training/technical assistance to eligible entities	340,000	These planned services/activities will be described in State Plan Item 8.1 [Read Only]
7.9b. Coordination of State-operated programs and/or local programs	Click or tap here to enter text.	These planned services/activities will be described in State Plan section 9, State Linkages and Communication [Read Only]
7.9c. Statewide coordination and communication among eligible entities	Click or tap here to enter text.	These planned services/activities will be described in State Plan section 9, State Linkages and Communication [Read Only]
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	Click or tap here to enter text.	Click or tap here to enter text.
7.9e. Asset-building programs	Click or tap here to enter text.	Click or tap here to enter text.
7.9f. Innovation programs/activities by eligible entities or other neighborhood group	Click or tap here to enter text.	Click or tap here to enter text.
7.9g. State charity tax credits	Click or tap here to enter text.	Click or tap here to enter text.

Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned \$	Brief Description of Services and/or Activities
7.9h. Other activities [Specify under Column 4]	610,070	Funds will go towards any Natural Disaster, (i.e. hurricanes, tornados, flooding etc.). In the event there is no natural disaster, funds will be allocated to eligible entities for a one time innovated project.
Totals	Auto-calculated	

7.10. Remainder/Discretionary Funds Partnerships: Select the types of organizations, if any, the state plans to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in Table 7.9. **[Check all that apply and narrative where applicable]**

- The state directly carries out all activities (No Partnerships)
- The state does not have remainder/discretionary funds
- The state partially carries out some activities
- CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) ³³
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other [Click or tap here to enter text.](#)

Note: This response will link to the corresponding CSBG assurance in Item 14.2.

7.11. Performance Management Adjustment: Describe any adjustments the state will make to the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the state’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

Note: This information is associated with State Accountability Measures 3Sb, and may pre-populate the state’s annual report form.

The NC Department of Health and Human Services is exploring options to replace the technology currently used by eligible entities to document and report service delivery as well as compliance with standards, and corrective action plans. It is expected that procurement for a new, integrated data system will be initiated during the plan period.

Section 8: State Training and Technical Assistance

8.1. Training and Technical Assistance Plan: Describe the state’s plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9a., Use of Remainder/Discretionary Funds. States should also describe training and technical assistance activities performed directly by state staff, regardless of whether these activities are funded with remainder/discretionary funds.)

Note: This information is associated with State Accountability Measure 3Sc and pre-populates the Annual Report, Module 1, Table F.1.

Training and Technical Assistance – Year One

Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
Ongoing/Multiple Quarters	Both	ROMA	
Ongoing/Multiple Quarters	Both	Organizational Standards - General	If other is selected in column 3, describe in this column.
Ongoing/Multiple Quarters	Both	Organizational Standards - for eligible entities with unmet TAPs or QIPs	
Ongoing/Multiple Quarters	Both	Fiscal	
Ongoing/Multiple Quarters	Both	Reporting	
Ongoing/Multiple Quarters	Both	Monitoring	If other is selected in column 3, describe in this column.
FY1 Q1	Both	Governance/Tripartite Boards	
FY1 Q1	Both	Community Assessment	
FY1 Q3	Both	Technology	If other is selected in column 3, describe in this column.

Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
FY1 Q2	Both	Communication	If other is selected in column 3, describe in this column.
Ongoing/Multiple Quarters	Both	Other	State Office provide quarterly calls/webinars, with a purpose to strengthen relationships and give the network important guidance. These sessions address targeted, identified needs and allow agencies to identify concerns or successes.

Training and Technical Assistance – Year Two

Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
Ongoing/Multiple Quarters	Both	Correcting Significant Deficiencies among eligible entities	If other is selected in column 3, describe in this column.

8.1a. Training and Technical Assistance Budget: The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9a):

Year One Within OLDC, this is pre-populated with the amount under 7.9a.

Year Two Within OLDC, this is pre-populated with the amount under 7.9a.

8.1b. Training and Technical Assistance Collaboration: Describe how the state will collaborate with the State Association and other stakeholders in the planning and delivery of training and technical assistance.

The Office Of Economic Opportunity delivers agency or program-specific training and technical assistance. Through a contractual agreement, OEO works closely with the NCCAA to plan, coordinate, and deliver training and technical assistance to eligible entities in areas of performance management, quality improvement, service delivery.

Topics for targeted training are informed by the eligible entities through surveys, data from program outcomes, annual self assessment. Topics are prioritized through with input from the eligible entities.

- 8.2. TAPs and QIPs:** Does the state have Technical Assistance Plans (TAPs) and/or Quality Improvement Plans (QIPs) in place for all eligible entities with unmet organizational standards, if appropriate? Yes

Note: 8.2 is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the state, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the state should put a TAP in place to support the entity in meeting the standard(s).

- 8.2a. Address Unmet Organizational Standards:** Describe the state’s plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards.

OEO will review all submitted documentation of Organizational Standards, and provide technical assistance and detailed guidance for all standards that are not met. Training and technical assistance will be provided throughout the year to assist eligible entities to achieve unmet standards. Targeted, performance based technical assistance is provided by the state office. General technical assistance and training is managed through a contract with NCCAA. Eligible entities who meet 30%-60% of standards will be required to develop a TAP in collaboration with OEO.

- 8.3. Training and Technical Assistance Organizations:** Indicate the types of organizations through which the state plans to provide training and/or technical assistance as described in Item 8.1, and briefly describe their involvement. (Check all that apply.)

- CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) [Click or tap here to enter text.](#)
- Other community-based organizations
- State Community Action Association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other [State Office of Economic Opportunity](#)

- 8.4. Performance Management Adjustment:** Describe adjustments the state made to the training and technical assistance plan under this State Plan as compared to past plans. Any adjustment should be based on the state’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

Note: This information is associated with State Accountability Measures 3Sd and may pre-populate the state’s annual report form.

The Office of Economic Opportunity (OEO) in partnership with NCCAA completes the RPIC Combined T&TA template as part of the Organizational Standards of Excellence. In the new T/TA plan the DHHS has entered into a contract with the NCCAA to provide training and

technical assistant on the Performance Management Framework to North Carolina's eligible entities. By contract NCCAA will focus its efforts on areas supporting certified ROMA trainers to remain active, train and support the eligible entities in developing logic models based on the ROMA framework, and NCCAA will provide the Community Action Professional Certification to all staff throughout the network to include staff from OEO. Lastly, an online board of directors certification program started this fiscal year for all new Board members and executive staff for eligible entities

An assessment of the NC CSBG Networks included; feedback provided through the American Customer Satisfaction Index; Organizational Assessment Scores; On-site/ remote monitoring activities; responses to T/TA surveys; feedback received from agencies hopefully will increase the number of eligible entities meeting 100% of the Organizational Standards is a priority. OEO conducts quarterly monitoring with agencies via face to face or desktop to ensure agencies are addressing any programmatic or fiscal areas of improvement in a timely manner and not only in response to program monitoring.

Section 9: State Linkages and Communication

Note: This section describes activities that the state may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The state may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).

9.1. State Linkages and Coordination at the State Level: Describe the linkages and coordination at the state level that the state intends to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe additional information as needed.

Note: This response will link to the corresponding CSBG assurance, Item 14.5. In addition, this information is associated with State Accountability Measure 7Sa and pre-populates the Annual Report, Module 1, Item G.1.

- State Low Income Home Energy Assistance Program (LIHEAP) office
- State Weatherization office
- State Temporary Assistance for Needy Families (TANF) office
- State Head Start office
- State public health office
- State education department
- State Workforce Innovation and Opportunity Act (WIOA) agency
- State budget office
- Supplemental Nutrition Assistance Program (SNAP)
- State child welfare office
- State housing office
- Other

9.2. State Linkages and Coordination at the Local Level: Describe the linkages and coordination at the local level that the state intends to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Section 676(b)(5) – (6)).

Note: This response will link to the corresponding CSBG assurances, Items 14.5 and 14.6, and pre-populates the Annual Report, Module 1, Item G.2.

Each CSBG eligible entity collaborates and coordinates services at the local level based upon the needs and resources available within their respective service areas. The State Office collects this information in narrative format from each eligible entity through an annual application for funding. While each eligible entity is unique in its approach, some examples of common strategies for linkages and coordination created or maintained to increase CSBG services and avoid duplication include participation on local human service councils where representatives

from human service agencies meet regularly to identify solutions to specific problems being experienced by low-income families, referrals with service providers addressing issues associated with poverty and collaborations with local Division of Social Services, Workforce Innovation and Opportunity Act providers, community colleges, local businesses, faith-based organizations, civic organizations and other non-profit agencies. Additionally, each eligible entity is responsible for incorporating the input of low-income families within the service area and tripartite board representatives to inform efforts related to provision of services and elimination of poverty barriers. The State Office will continue a targeted effort of strengthening the collaboration of CSBG eligible entities and local Division of Social Service Offices through coordination with the North Carolina Community Action Association and North Carolina Association of County Departments of Social Services. An increased effort will be placed on areas of potential collaboration with the North Carolina Department of Commerce as the lead state agency for the Workforce Innovation and Opportunity Act and the Temporary Assistance for Needy Families Program which is housed within the same organizational and physical location as CSBG.

9.3. Eligible Entity Linkages and Coordination

9.3a. State Assurance of Eligible Entity Linkages and Coordination: Describe how the state will assure that eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)).

Note: This response will link to the corresponding CSBG assurance, Item 14.5. and pre-populates the Annual Report, Module 1, Item G.3a.

The State Office provides ongoing communication to leadership within the North Carolina Community Action network through quarterly leadership webinars/calls, North Carolina Community Action Association Council of Executive Directors meetings and presentations on targeted areas. Additionally, the North Carolina Community Action Association holds regular regional meetings with agencies providing services within the same geographic region. These modes of communication present opportunities for the State Office, the State Association and local agencies to discuss and plan coordination among eligible entities.

9.3b. State Assurance of Eligible Entity Linkages to Fill Service Gaps: Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.

Note: This response will link to the corresponding CSBG assurance, Item 14.3b. and pre-populates the Annual Report, Module 1, Item G.3b.

Each CSBG eligible entity develops linkages to fill identified gaps in the services, through the provision of information, referrals, case management and follow-up consultations based upon the needs and resources in their respective service areas. The State Office collects this information in narrative format from each CSBG eligible entity through an annual application for funding. As part of the annual application process, each eligible entity completes a community needs assessment which includes a narrative or list of local public agencies, businesses, faith-based organizations, civic organizations and other non-profit organizations they collaborate with as a method to develop linkages to fill identified gaps and avoid duplication of services.

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training

Activities: Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?

Note: This response will link to the corresponding CSBG assurance, Item 14.5.

Yes

9.4a. WIOA Combined Plan: If the state selected yes under Item 9.4, provide the CSBG-specific information included in the state's WIOA Combined Plan. This information includes a description of how the state and the eligible entities will

coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.

Although North Carolina has opted for a Unified State Plan under WIOA, and not a Combined State Plan, the NC WIOA Unified State Plan, 2016-2020 addresses leveraging the use of Community Action Agencies, with federal CSBG funding, to increase educational access through the provision of transportation assistance, child care assistance and/or occasionally direct educational assistance (p.61).

The NC WIOA Unified State Plan identifies the CSBG as one of the programs under the review of the NCWorks Commission, which includes representatives from the business community, heads of state workforce agencies, educators, and community leaders align workforce programs and activities at the state-level through a Strategic Planning Task Force that is focused on coordinating and aligning all workforce programs, and avoiding duplication across workforce activities (p.40). Other programs include: Displaced Homemaker and American Indian Workforce Development Program administered by the NC Department of Administration; the Title I adult and youth programs, Wagner-Peyser, Trade Adjustment Assistance, Veterans' Program, and Apprenticeship programs administered by the NC Department of Commerce; the Bionetwork, Customized Training, Small Business Center Network, Adult Education and Basic Skills, Occupational Continuing Education, and Postsecondary Career Technical and Vocational Education programs administered by the NC Community College System; the Career and Technical Education program administered by the NC Department of Public Instruction; and the Temporary Assistance to Needy Families (TANF), Food and Nutrition Services; Senior Community Service Employment, and the Vocational Rehabilitation and VR Services for the Blind programs administered by the NC Department of Health and Human Services.

Additionally, the NC Unified State Plan includes the Community Services Block Grant as a core program within DHHS that provides funding to Community Action Agencies and Limited Purpose Agencies to carry out activities that enable low-income families to move out of poverty and to become self-sufficient. The NC WIOA State Plan describes the program as assisting low-income participants, at or below 200% the poverty level, with employment, education, housing, emergency assistance, community involvement, and more effective use of resources (p.258).

9.4b. Employment and Training Activities: If the state selected no under Item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the state and by eligible entities providing activities through the WIOA system.

9.5. Emergency Energy Crisis Intervention: Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in

the State, as required by the assurance under Section 676(b)(6) of the CSBG Act).

Each CSBG eligible entity supports and/ or operates emergency energy crisis intervention programs under title XXVI based upon the needs and resources in their respective service areas. The State Office collects this information in narrative format from each CSBG eligible entity through an annual application for funding. While each eligible entity is unique in its approach, common approaches to supporting emergency energy crisis intervention is through operating Weatherization and Heating and Air Replacement and Repair Programs and referrals to appropriate providers. Then National Performance Indicators within the CSBG Annual Report and the state required outcome eligible entities provide the number of participant families provided emergency assistance. This outcome requirement serves as information sources for the State to indicate emergency crisis services provided or referred by eligible entities

Note: This response will link to the corresponding CSBG assurance, Item 14.6.

- 9.6. Faith-based Organizations, Charitable Groups, Community Organizations:** Describe how the state will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the state's assurance under Section 676(b)(9) of the CSBG Act.

Note: this response will link to the corresponding assurance, Item 14.9

Each CSBG eligible entity coordinates and forms partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations based upon the needs and resources in their respective service areas. The State Office collects this information in narrative format from each CSBG eligible entity through an annual application for funding. While each eligible entity is unique in its approach, the importance of the mission and established goals of agencies is a common driver for the coordination and formation of partnerships with other organizations. Eligible entities often strengthen coordination and partnerships through entities represented on the tripartite board of directors. The eligible entity capacity building section of the CSBG Annual Report will serve as an information source for the State to indicate eligible entities are coordinating services and partnering with other agencies to address the needs in their respective service areas.

- 9.7. Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:** Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

Note: This response will link to the corresponding assurance, Item 14.3c.

Each CSBG eligible entity coordinates and forms partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations based upon the needs and resources in their respective service areas. The State Office collects this information in narrative format from each CSBG eligible entity through an annual application for funding. While each eligible entity is unique in its approach, the importance of the mission and established goals of agencies is a common driver for the coordination and formation of

partnerships with other organizations. Eligible entities often strengthen coordination and partnerships through entities represented on the tripartite board of directors. The eligible entity capacity building section of the CSBG Annual Report will serve as an information source for the State to indicate eligible entities are coordinating services and partnering with other agencies to address the needs in their respective service areas.

9.8. Coordination among Eligible Entities and State Community Action Association:

Describe state activities for supporting coordination among the eligible entities and the State Community Action Association.

Note: This information will pre-populate the Annual Report, Module 1, Item G.5.

OEO provides regular and ongoing communication to leadership within the North Carolina Community Action network through quarterly leadership webinars, NCCAA Council of Executive Director meetings and presentations on targeted areas. Additionally, the NCCAA holds regional meetings with agencies providing services within the same geographic region. These modes of communication present opportunities for the State Office, the State Association and Local Agencies to discuss and plan coordination among eligible entities.

9.9. Communication with Eligible Entities and the State Community Action Association: In the table below, detail how the state intends to communicate with eligible entities, the State Community Action Association, and other partners identified under this State Plan on the topics listed below.

For any topic that is not applicable, select *Not Applicable* under Expected Frequency.

Communication Plan

Subject Matter	Expected Frequency	Format	Brief Description of "Other"
Upcoming Public and/or Legislative Hearings	Annually	Public Notice	Click or tap here to enter text.
State Plan Development	Semi-Annually	Other	Combination of phone calls, emails, meeting and presentations
Organizational Standards Progress	Annually	Other	Combination of phone calls, emails, meeting and presentations
State Accountability Measures Progress	Quarterly	Other	Combination of phone calls, emails, meeting and presentations
Community Needs Assessments/Community Action Plans	Annually	Other	Combination of phone calls, emails, meeting and presentations
State Monitoring Plans and Policies	As needed	Letters/Hard Copies	Click or tap here to enter text.
Training and Technical Assistance (T/TA) Plans	Monthly	Other	Combination of phone calls, emails, meeting and presentations

Subject Matter	Expected Frequency	Format	Brief Description of "Other"
ROMA and Performance Management	Annually	1:1	Click or tap here to enter text.
State Interagency Coordination	Choose an item.	Choose an item.	Click or tap here to enter text.
CSBG Legislative/Programmatic Updates	Quarterly	Other	Combination of phone calls, emails, meeting and presentations
Tripartite Board Requirements	Quarterly	1:1	Click or tap here to enter text.
Click or tap here to enter an additional subject matter that is not included above.	Choose an item.	Choose an item.	Click or tap here to enter text.

9.10. Feedback to Eligible Entities and State Community Action Association: Describe how the state will provide information to local entities and State Community Action Associations regarding performance on State Accountability Measures.

Note: This information is associated with State Accountability Measure 5S(iii) and will pre-populate the Annual Report, Module 1, Item G.6.

The State will provide feedback to local entities and the State Community Action Association on performance specific to the State Accountability Measures through quarterly and year end updates in narrative, presentation, listening sessions and/or meeting formats. In addition to the modes of communication detailed in 9.9, the State’s CSBG and State Association Directors meet regularly to discuss overall strategies for strengthening resource coordination, service delivery and performance management for CSBG related activities. Regular and ongoing communications will support the states success with achieving positive results related to accountability measures in the area of state plan development, grantee monitoring and corrective action and organizational standards for eligible entities

9.11. Performance Management Adjustment: Describe any adjustments the state made to the Communication Plan in this State Plan as compared to past plans. Any adjustment should be based on the state’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

Note: This information is associated with State Accountability Measures 7Sb; this response may pre-populate the state’s annual report form.

The Office of Economic Opportunity (OEO) is planning to increase remote and regional training opportunities for eligibility entities as well as a plan to increase the efficiency/ timeliness of written communications. OEO is also planning to strengthen collaborative efforts and communication with the NC Community Action Association surrounding eligible entity performance and will continue to have representation on the NC Performance Management Workgroup to support adjustments to communication where applicable.

Section 10: Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities (Section 678B(a) of the CSBG Act)

10.1. Specify the proposed schedule for planned monitoring visits including: full on-site reviews; on- site reviews of newly designated entities; follow-up reviews – including return visits to entities that failed to meet state goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist states in planning. States may indicate “no review” for entities the state does not plan to monitor in the performance period.

Note: This information is associated with State Accountability Measure 4Sa(i); this response pre-populates the Annual Report, Module 1, Table H.1.

Monitoring Schedule – Year One

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of “Other”
Blue Ridge Community Action	Full On-Site	Onsite Review	FY1 Q2	10/24/2016	10/27/2016	If “Other” is selected in Column 2, describe in this column.
Experiment in Self-Reliance	Full On-Site	Onsite Review	FY1 Q1	7/18/2016	7/21/2016	If “Other” is selected in Column 2, describe in this column.
North Carolina Indian Commission	Full On-Site	Onsite Review	FY1 Q2	10/19/2016	10/21/2016	If “Other” is selected in Column 2, describe in this column.
Sandhills Community Action Program	Full On-Site	Onsite Review	FY1 Q1	9/12/2016	9/15/2016	If “Other” is selected in Column 2, describe in this column.
Action Pathways	Full On-Site	Onsite Review	FY1 Q1	6/14/2016	6/16/2016	If “Other” is selected in Column 2, describe in this column.
Mountain Projects, Inc	Full On-Site	Onsite Review	FY1 Q1	8/15/2016	8/18/2016	If “Other” is selected in Column 2, describe in this column.

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Salisbury-Rowan Community Action Agency	Full On-Site	Onsite Review	FY1 Q1	8/23/2016	8/26/2016	If "Other" is selected in Column 2, describe in this column.
Central Piedmont	Full On-Site	Onsite Review	FY1 Q1	8/1/2016	8/5/2016	If "Other" is selected in Column 2, describe in this column.
Catawba County Social Services	Full On-Site	Onsite Review	FY1 Q1	5/4/2016	5/6/2016	If "Other" is selected in Column 2, describe in this column.
Charlotte Area Fund	Full On-Site	Onsite Review	FY1 Q2	8/9/2016	8/11/2016	If "Other" is selected in Column 2, describe in this column.
Choanoke Area Development Association	Full On-Site	Onsite Review	FY1 Q1	6/21/2016	6/24/2016	If "Other" is selected in Column 2, describe in this column.
Community Action Opportunities	Full On-Site	Onsite Review	FY1 Q1	6/27/2016	6/29/2016	If "Other" is selected in Column 2, describe in this column.
Johnston Lee Harnett Community Action	Full On-Site	Onsite Review	FY1 Q1	5/24/2016	5/27/2016	If "Other" is selected in Column 2, describe in this column.
Macon Program for Progress	Full On-Site	Onsite Review	FY1 Q1	6/6/2016	6/9/2016	If "Other" is selected in Column 2, describe in this column.
Southeastern Community and Family Services	Full On-Site	Onsite Review	FY1 Q2	8/16/2016	8/19/2016	If "Other" is selected in Column 2, describe in this column.

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Blue Ridge Opportunity Commission	Full On-Site	Onsite Review	FY1 Q1	3/8/2016	3/9/2016	If "Other" is selected in Column 2, describe in this column.
Four Square Community Action, Inc.	Full On-Site	Onsite Review	FY1 Q2	12/7/2016	12/9/2016	If "Other" is selected in Column 2, describe in this column.
Welfare Reform Liaison Project, Inc.	Full On-Site	Onsite Review	FY1 Q4	12/15/2017	12/15/2017	Agency was placed on a Quality Improvement Plan in 2017-2018
Yadkin Valley Economic Development District, Inc	Full On-Site	Onsite Review	FY1 Q2	12/4/2017	12/7/2017	If "Other" is selected in Column 2, describe in this column.
Alamance County Community Action	No Review		Choose an item.	9/15/2017	9/18/2017	If "Other" is selected in Column 2, describe in this column.
Coastal Community Action	No Review	Choose an item.	Choose an item.	8/6/2018	8/9/2018	If "Other" is selected in Column 2, describe in this column.
Davidson County Community Action	No Review	Choose an item.	Choose an item.	2/20/2018	2/22/2018	If "Other" is selected in Column 2, describe in this column.
Eastern Carolina Human Services Agency	No Review	Choose an item.	Choose an item.	7/11/2018	7/13/2018	If "Other" is selected in Column 2, describe in this column.
Economic Improvement Council, Inc.	No Review		Choose an item.	10/9/2017	10/12/2017	If "Other" is selected in Column 2, describe in this column.

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Franklin Vance Warren	No Review	Choose an item.	Choose an item.	12/18/2018	12/21/2018	If "Other" is selected in Column 2, describe in this column.
Gaston Community	No Review	Choose an item.	Choose an item.	10/16/2017	10/19/2017	If "Other" is selected in Column 2, describe in this column.
WAGES	No Review	Choose an item.	Choose an item.	4/8/2019	4/10/2019	If "Other" is selected in Column 2, describe in this column.
Greene Lamp, Inc.	No Review	Choose an item.	Choose an item.	Click or tap to enter a date.	Click or tap to enter a date.	If "Other" is selected in Column 2, describe in this column.
ICARE, Inc.	No Review	Choose an item.	Choose an item.	5/20/2019	5/23/2019	If "Other" is selected in Column 2, describe in this column.
Nash Edgecombe Economic Development Inc.	No Review	Choose an item.	Choose an item.	5/29/2018	6/4/2018	If "Other" is selected in Column 2, describe in this column.
Passage Home	No Review	Choose an item.	Choose an item.	10/3/2017	10/5/2017	If "Other" is selected in Column 2, describe in this column.
Telamon Corporation	No Review	Choose an item.	Choose an item.	1/23/2017	1/25/2018	If "Other" is selected in Column 2, describe in this column.
Union County Community Action	No Review	Choose an item.	Choose an item.	3/5/2018	3/8/2018	If "Other" is selected in Column 2, describe in this column.

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
W.A. M.Y.	No Review	Choose an item.	Choose an item.	3/19/2018	3/22/2018	If "Other" is selected in Column 2, describe in this column.

Monitoring Schedule – Year Two

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
Action Pathways	No Review	Choose an item.	Choose an item.	8/5/2019	8/9/2019	If "Other" is selected in Column 2, describe in this column.
Alamance Coummunity Action	Full On-Site	Onsite Review	FY1 Q1	9/15/2017	9/18/2017	If "Other" is selected in Column 2, describe in this column.
Blue Ridge Community Action	No Review	Choose an item.	Choose an item.	10/24/2019	10/27/2019	If "Other" is selected in Column 2, describe in this column.
Blue Ridge Opportunity Commission	No Review	Choose an item.	Choose an item.	9/11/2019	9/13/2019	If "Other" is selected in Column 2, describe in this column.
Catawba County Scoial Services	No Review	Choose an item.	Choose an item.	8/20/2019	8/23/2019	If "Other" is selected in Column 2, describe in this column.
Central Piedmont	No Review	Choose an item.	Choose an item.	9/3/2019	9/7/2019	If "Other" is selected in Column 2, describe in this column.
Charlotte Area Fund	No Review	Choose an item.	Choose an item.	9/23/2019	9/26/2019	If "Other" is selected in Column 2, describe in this column.
Choanoke Area Development Assocation	No Review	Choose an item.	Choose an item.	10/1/2019	10/3/2019	If "Other" is selected in Column 2, describe in this column.

Coastal Community Action, Inc.	Full On-Site	Onsite Review	FY1 Q2	8/6/2018	8/8/2018	If "Other" is selected in Column 2, describe in this column.
Community Action Opportunities	No Review	Choose an item.	Choose an item.	10/2/2019	10/4/2019	If "Other" is selected in Column 2, describe in this column.
Davidson County Community Action	Full On-Site	Onsite Review	FY1 Q2	2/20/2018	2/22/2018	
Eastern Carolina Human Services Agency	Full On-Site	Onsite Review	FY1 Q4	7/11/2018	7/13/2018	If "Other" is selected in Column 2, describe in this column.
Economic Improvement Council	Full On-Site	Onsite Review	FY1 Q2	10/9/2017	10/12/2017	If "Other" is selected in Column 2, describe in this column.
Experiment in Self-Reliance	No Review	Choose an item.	Choose an item.	10/2/2019	10/4/2019	If "Other" is selected in Column 2, describe in this column.
Four Square Community action	No Review	Onsite Review	FY1 Q2	12/7/2019	12/10/2019	If "Other" is selected in Column 2, describe in this column.
Franklin Vance Warren Opportunity	Full On-Site	Onsite Review	FY1 Q2	12/7/2018	12/10/2018	If "Other" is selected in Column 2, describe in this column.
Gaston Community Action	Full On-Site	Onsite Review	FY1 Q2	10/9/2017	10/11/2017	If "Other" is selected in Column 2, describe in this column.

Greene Lamp, Inc	Full On-Site	Onsite Review	FY1 Q2	11/6/2017	11/9/2017	If "Other" is selected in Column 2, describe in this column.
ICARE	No Review	Choose an item.	Choose an item.	5/20/2019	5/23/2019	If "Other" is selected in Column 2, describe in this column.
Johnston Lee Harnett Community Action	No Review	Choose an item.	Choose an item.	9/10/2019	9/13/2019	If "Other" is selected in Column 2, describe in this column.
Macon Program for Progress	No Review	Choose an item.	Choose an item.	10/1/2019	10/3/2019	If "Other" is selected in Column 2, describe in this column.
Mountain Projects	No Review	Choose an item.	Choose an item.	12/2/2019	12/5/2019	If "Other" is selected in Column 2, describe in this column.
Nash Edgecombe Economic Development	Full On-Site	Onsite Review	FY1 Q4	5/29/2018	6/4/2018	If "Other" is selected in Column 2, describe in this column.
Passage Home	Full On-Site	Onsite Review	FY1 Q2	10/1/2017	10/3/2017	If "Other" is selected in Column 2, describe in this column.
Salisbury Rowan Community Action	No Review	Choose an item.	Choose an item.	8/19/2019	8/22/2019	If "Other" is selected in Column 2, describe in this column.

Sandhills Community Action Program	No Review	Choose an item.	Choose an item.	9/12/2019	9/15/2019	If "Other" is selected in Column 2, describe in this column.
Southeastern Community and Family Services	No Review	Choose an item.	Choose an item.	8/16/2019	8/19/2019	If "Other" is selected in Column 2, describe in this column.
Telamon Corporation	Full On-Site	Onsite Review	FY1 Q3	1/23/2018	1/25/2018	If "Other" is selected in Column 2, describe in this column.
Union County Community Action	Full On-Site	Onsite Review	FY1 Q3	3/5/2018	3/8/2018	If "Other" is selected in Column 2, describe in this column.
W.A.A.MY	Full On-Site	Onsite Review	FY1 Q3	3/19/2018	3/22/2018	If "Other" is selected in Column 2, describe in this column.
WAGES	No Review	Choose an item.	Choose an item.	4/8/2019	4/10/2019	If "Other" is selected in Column 2, describe in this column.
Welfare Reform Liaison Project	No Review	Choose an item.	Choose an item.	12/5/2017	12/8/2017	Agency was placed on a QIP in 2017
Yadkin Valley Economic Development District	No Review	Choose an item.	Choose an item.	12/8/2020	12/11/2020	If "Other" is selected in Column 2, describe in this column.
North Carolina Comission of Indian Affairs	No Review	Choose an item.	Choose an item.	10/16/2019	10/19/2019	If "Other" is selected in Column 2, describe in this column.

Within OLDC, this column will pre-populate from the CSBG Eligible Entity Master List.	Choose an item.	Choose an item.	Choose an item.	Click or tap to enter a date.	Click or tap to enter a date.	If "Other" is selected in Column 2, describe in this column.
Within OLDC, this column will pre-populate from the CSBG Eligible Entity Master List.	Choose an item.	Choose an item.	Choose an item.	Click or tap to enter a date.	Click or tap to enter a date.	If "Other" is selected in Column 2, describe in this column.
Within OLDC, this column will pre-populate from the CSBG Eligible Entity Master List.	Choose an item.	Choose an item.	Choose an item.	Click or tap to enter a date.	Click or tap to enter a date.	If "Other" is selected in Column 2, describe in this column.
Within OLDC, this column will pre-populate from the CSBG Eligible Entity Master List.	Choose an item.	Choose an item.	Choose an item.	Click or tap to enter a date.	Click or tap to enter a date.	If "Other" is selected in Column 2, describe in this column.
Within OLDC, this column will pre-populate from the CSBG Eligible Entity Master List.	Choose an item.	Choose an item.	Choose an item.	Click or tap to enter a date.	Click or tap to enter a date.	If "Other" is selected in Column 2, describe in this column.

10.2. Monitoring Policies: Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink.

Provide a hyperlink or add an attachment.

10.3. Initial Monitoring Reports: According to the state’s procedures, by how many calendar days must the state disseminate initial monitoring reports to local entities?

Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the state’s annual report form.

Corrective Action, Termination and Reduction of Funding and Assurance Requirements (Section 678C of the Act)

- 10.4. Closing Findings:** Are state procedures for addressing eligible entity findings/deficiencies, and the documenting closure of findings included in the state monitoring protocols attached above? No

- 10.4a. Closing Findings Procedures:** If no, describe state procedures for addressing eligible entity findings/deficiencies, and the documenting closure of findings.

NC has a process that involves standardized Corrective Action Worksheets which accompany any monitoring report with findings which identifies the finding, cause, required action and details the actions/steps to be taken for correction, the responsible party(ies) and the date by which the action/step will be completed. Upon agency submission of the evidence the action/steps have been taken, the State Office reviews the documentation and/or conducts a follow-up visit to confirm implementation of the planned action/steps and issues a formal response indicating whether the finding is closed, or additional documentation/ action is required. For the purpose of CSBG Administration, a finding is defined as any area of non-compliance with federal or state rules, contracts requirements, agency bylaws/policies/procedures, or binding source document. All findings require corrective action; however, all findings do not result in Quality Improvement Plans (QIPs). Quality Improvement Plans are to be initiated when a level of non-compliance results in suspension of funding and/or the threat of de-designation as a result of documented repeat findings, fraud, waste, abuse, lack of capacity to safeguard resources, inability to demonstrate outcomes achievement or failure to meet contract requirements. Like the CAWs, QIPs will accompany a formal notice to the agency of the areas of non-compliance/findings, causes of the non-compliance/findings, required actions and details the actions/steps to be taken to correct the ongoing and/or significant deficiencies, the responsible party(ies) and the date by which the action/step must be completed. Upon agency submission of the evidence the action/steps have been taken, the State Office will review the documentation and/or conduct a follow-up visit to confirm implementation of the planned action/steps and issue a formal response indicating that additional documentation and/or action is needed or that the agency has successfully addressed the deficiencies thereby removing the threat of de-designation. The QIP will require Board and Executive Level Staff engagement. Should the agency fail to address the deficiencies outlined in IM 116.

- 10.5. Quality Improvement Plans (QIPs):** Provide the number of eligible entities currently on QIPs, if applicable.

Note: The QIP information is associated with State Accountability Measures 4Sc.

1

- 10.6. Reporting of QIPs:** Describe the state's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the state approving a QIP?

Note: This item is associated with State Accountability Measure 4Sa(iii)).

North Carolina will copy the Office of Community Services (OCS) on all formal notifications to agencies indicating the State is approving a Quality Improvement Plan. To expedite receipt, a scan of the formal notice will be emailed to the OCS. NC respectfully asks that OCS specify a lead QIP point of contact and a process by which receipt of notification will be formally acknowledged and feedback provided.

- 10.7. Assurance on Funding Reduction or Termination:** The state assures that “any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the state determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)” per Section 676(b)(8) of the CSBG Act. Yes

Note: This response will link with the corresponding assurance under item 14.8.

Policies on Eligible Entity Designation, De-designation, and Re-designation

- 10.8. Eligible Entity Designation:** Do the state CSBG statute and/or regulations provide for the designation of new eligible entities? Yes

10.8a. New Designation Citation: If yes, provide the citation(s) of the law and/or regulation.

Requirements for designation of new eligible entities are specified in Title 10A North Carolina Administrative Code, Chapter 97C .0106 and are Available at <http://reports.oah.state.nc.us/ncac.asp?folderName=\Title%2010A%20-%20Health%20and%20Human%20Services\Chapter%2097%20-%20Economic%20Opportunity>

10.8b. New Designation Procedures: If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public.

Click or tap here to enter text.

- 10.9. Eligible Entity Termination:** Do state CSBG statute and/or regulations provide for termination of eligible entities? Yes

10.9a. Termination Citation: If yes, provide the citation(s) of the law and/or regulation.

When de-designation becomes necessary, the State references Title 10A North Carolina Administrative Code 97C Section .1300 A Grant Recipient Compliance Liability: Suspension: Termination. In addition, the State notifies the Office of Community Services on the necessary action, follows OCS IM-116 as deemed appropriate and works diligently to designate a new provider as quickly as possible to minimize the break in service delivery to eligible low-income families.

10.9b. Termination Procedures: If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public.

Click or tap here to enter text.

10.10. Eligible Entity Re-Designation: Do the state CSBG statute and/or regulations provide for re-designation of an existing eligible entity? **No**

10.10a. Re-Designation Citation: If yes, provide the citation(s) of the law and/or regulation.

Click or tap here to enter text.

10.10b. Re-Designation Procedures: If no, describe state procedures for re-designation of existing eligible entities and how the procedures were made available to eligible entities and the public.

Click or tap here to enter text.

Fiscal Controls and Audits and Cooperation Assurance

10.11. Fiscal Controls and Accounting: Describe how the state's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).

The Department of Health and Human Services Office of the Controller Federal Grants and Financial Reporting Unit is responsible for the management, coordination and supervision of all federal fund accounting, financial reporting, financial analysis, and audit resolution relative to federal funds accounting and the coordination of the annual accrual process and preparation of the Comprehensive Annual Financial Report (CAFR) for the Department of Health and Human Services. CSBG expenditures are tracked through FRC 54. The submission of interim FFRs will be on a quarterly, semi-annual, or annual basis, as directed by the Federal agency. A final FFR shall be submitted at the completion of the award agreement. The following reporting period end dates shall be used for interim reports: 3/31, 6/30, 9/30, or 12/31. For final FFRs, the reporting period end date shall be the end date of the project or grant period. Quarterly and semi-annual interim reports shall be submitted no later than 30 days after the end of each reporting period. Annual reports shall be submitted no later than 90 days after the end of each reporting period. Final reports shall be submitted no later than 90 days after the project or grant period end date.

10.12. Single Audit Management Decisions: Describe state procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521.

Note: This information is associated with State Accountability Measure 4Sd.

Issuing single audit management decisions for eligible entities is a function of the Department of Health and Human Services Office of the Internal Auditor, Risk Mitigation and Audit

Monitoring (RMAM) team. It should be noted in North Carolina required reports and audits of agencies are submitted by the eligible entity into the Federal Audit Clearinghouse and/or emailed to www.ncgrantsreporting@dhhs.nc.gov. While changes are being made to this system to enhance capabilities, current key components of the submission, review and issuance of management decisions are as follows: 1) Required reports and audits of agencies are submitted by the eligible entity by email to www.ncgrantsreporting@dhhs.nc.gov. A desk review of the audit is completed to determine if it was conducted in accordance with the required audit standards. a. If an audit does not meet the required standards, it is rejected and the entity is notified with a listing the required standards that were not met. b. The entity is required to submit a revised audit report that meets the required standards. c. If the audit meets all other standards, but is missing a required corrective action plan, RMAM drafts and issues a Management Decision Letter, after obtaining input from the Division Monitors, to the Grantee Contact of the nongovernmental entity requesting a corrective action plan and/or additional information if the submitted corrective action plan is deemed insufficient. 2) If the required reports have not been received within the required six (6) month period or an audit and required reports have not been received within the required nine (9) month period, the division monitors notify the RMAM team and request that the grantee be placed on the Suspension of Funding List. The designated RMAM team member notifies OSBM to add the grantee to the Suspension of Funding List and once the required reports have been received from the grantee, the designated RMAM team member notifies OSBM to remove the grantee from the Suspension of Funding list, and once done, notifies the grantee that they have been removed from the list. State agencies are prohibited from entering into new grant agreements with these entities and should withhold grant funds not yet disbursed until the grantee has been removed from the SOFL.

10.13. Assurance on Federal Investigations: The state will “permit and cooperate with Federal investigations undertaken in accordance with Section 678D” of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act. [Yes](#)

Note: This response will link with the corresponding assurance, Item 14.7

10.14. Performance Management Adjustment: Describe any adjustments the state made to monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the state’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

Note: This item is associated with State Accountability Measure 4Sb and may pre-populate the state’s annual report form.

[Click or tap here to enter text.](#)

Section 11: Eligible Entity Tripartite Board

11.1. Tripartite Board Verification: Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act. **[Check all that applies and narrative where applicable]**

- Attend Board meetings
- Organizational Standards Assessment
- Monitoring
- Review copies of Board meeting minutes
- Track Board vacancies/composition
- Other The State Office monitors board requirements by collecting board membership/ composition rosters, inclusive of committees, during the annual application process. Board member profile sheets are submitted to the Office as new members are seated. The process by which members are selected as well as engaged is assessed through review of board minutes, board member files and agency by-laws during onsite and desktop monitoring. Attempts are made to meet with board members during onsite monitoring visits or when requested

11.2. Tripartite Board Updates: Provide how often the state requires eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.

Annually

Provide a Narrative if Other is Chosen.

11.3. Tripartite Board Representation Assurance: Describe how the states will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act.

Note: This response will link with the corresponding assurance, Item 14.10.

North Carolina will ensure that eligible entities have the required petition process to afford individuals and organizations expressing a need for adequate representation on the tripartite board by reviewing each eligible entity by laws, policies and/ or procedures through desktop and/or onsite monitoring. Guidance will be issued to ensure the process delineates at a minimum:

- 1) A format in which the petitioner will specify why he/she or the organization/group feels inadequately represented
- 2) A reasonable number of signatures needed for the petition to be considered based on a set of defined criteria related to the service area and poverty population
- 3) The procedures by which the petition will be received, reviewed, approved for seating and/or denied and how the petitioner will be notified of the results

11.4. Tripartite Board Alternative Representation: Does the state permit public eligible entities to use, as an alternative to a Tripartite Board, “another mechanism specified by the state to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs” as allowed under Section 676B(b)(2) of the CSBG Act? Yes

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.

In accordance with Public Law 676 B(b)(2);“(2) another mechanism specified by the State to assure decision making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs funded under this subtitle. The Office of Economic Opportunity will allow agencies with a Board Structure that represents different states, have an Advisory Council. The Advisory Council must be structured in the Tripartite Board structure.

Section 12: Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility: Provide the income eligibility threshold for services in the state. [Select one item below and numeric response where applicable.]

- 125% of the HHS poverty line
- X % of the HHS poverty line (fill in the threshold): Click or tap here to enter text. %
- Varies by eligible entity Click or tap here to enter text.

12.1a. Describe any state policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

Requirements for income eligibility are specified in Title 10A North Carolina Administrative Code, Chapter 97C .0106 and are Available at <http://reports.oah.state.nc.us/ncac.asp?folderName=\Title%2010A%20-%20Health%20and%20Human%20Services\Chapter%2097%20-%20Economic%20Opportunity> and have been attached to the OLDC System

12.2. Income Eligibility for General/Short Term Services: Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical). An example of these services is emergency food assistance.

Per Guidance Memorandum 2012-2, NC Office of Economic Opportunity has determined it is reasonable to attempt to verify income for all CSBG participants. Where income verification outlined in the required self-declaration statement is not possible, the agency must maintain a document that captures why income was not verified. Where no income was received, the self-declaration should indicate \$0 as the annual income to which the applicant attests.

12.3. Community-targeted Services: Describe how the state ensures eligible entities' services target and benefit low-income communities for those services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations).

North Carolina acknowledges that provision of services with community-wide benefits as described is an area for strengthening; however, through onsite and desktop monitoring, the State ensures that all CSBG services provided are to families meeting the income guidelines established which are 125% of the federal poverty guideline as outlined in state rules and the Quality Measures of each eligible entities contract. These families are the same for which eligible entities provide advocacy services to in their local communities. We believe that encouraging formal partnership agreements outlining this focus will strengthen the ability to ensure such services target and benefit low-income communities.

Section 13: Results Oriented Management and Accountability (ROMA) System

13.1. Performance Measurement System: Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act.

Note: This response will also link to the corresponding assurance, Item 14.12. and will pre-populate the Annual Report, Module 1, Item I.1.

NC DHHS uses and requires eligible entities to use The Results Oriented Management and Accountability (ROMA) System.

13.1a. ROMA Description: If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA.

The North Carolina OEO includes written guidance surrounding ROMA within the annual CSBG application. The expected range of 80% - 120% of targeted performance and expected expenditure rate of 100% is identified in all quarterly and year-end letters from the State office to eligible entities. In the event performance or expenditures are below expected levels, agencies are required to identify meaningful reasons and planned adjustments to bring these within the expected range.

The State Office includes this information in the letters which are mailed to the board chairperson and executive director. Additional supports for ROMA include: thirty National Certified ROMA Trainers across the North Carolina network (one within the State Office and 3 within the Association), ongoing training and technical assistance for the CSBG-IS/ Annual Report and elements of ROMA within the Accountable Results for Community Action case management database.

In collaboration with the State Office, the North Carolina Community Action Association leads NC ROMA efforts through coordination of training and technical assistance with the cohort of NCRTs within the state. This includes, but is not limited to, coordination of regional and agency ROMA trainings, quarterly webinars/ conference calls and an NC ROMA annual retreat for NCRTs. The North Carolina State Office will work with eligible entities and provide T/TA as needed to support the transition to the CSBG Annual Report.

13.1b. Alternative System Description: If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement.

[Click or tap here to enter text.](#)

13.2. Outcome Measures: Indicate and describe the outcome measures the state will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act.

Note: This response will also link to the corresponding assurance, Item 14.12.

Choose an item.

The State Office requires the CSBG-IS/ Annual report be completed annually. Additionally, all North Carolina eligible entities are required to report outcomes measures specific to CSBG funding on a quarterly basis. The most common outcomes reported by eligible entities include: The number of participant families served; The number of low-income participant families rising above the poverty level; The average change in the annual income per participant family experiencing a change; The number of participant families obtaining employment; The number of participant families who are employed and obtain better employment; The average wage rate of employed participant families; The number of jobs with medical benefits obtained; The number of participant families completing education/ training programs; The number of participant families securing standard housing; The number of participant families provided emergency assistance; The number of participant families provided employment supports; The number of participant families provided educational supports

13.3. Eligible Entity Support: Describe how the state supports the eligible entities in using ROMA or an alternative performance management system.

Note: The activities described under Item 13.3 may include activities listed in “Section 8: Training and Technical Assistance.” If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, Item 14.12.

North Carolina has 30 National Certified ROMA Trainers (1 within the State Office, and 3 with NCCAA, 26 within the eligible entities). The North Carolina Community Action Association leads efforts surrounding these individuals being available to the network for trainings. Elements and concepts of ROMA are consistently incorporated into training and technical assistance materials made available through the State Office and the Association. Some additional efforts the State Office engages in to support use of the ROMA system include written guidance surrounding ROMA in quarterly and year-end report communications, ongoing training and technical assistance for the CSBG-IS/ Annual Report and elements of ROMA within the Accountable Results for Community Action case management database. In collaboration with the State Office, the North Carolina Community Action Association leads NC ROMA efforts through coordination of training and technical assistance with the cohort of NCRTs within the state. This includes, but is not limited to, coordination of regional and agency ROMA trainings, quarterly webinars/ conference calls and an NC ROMA annual retreat for NCRTs, and coordination of the NC Performance Management Leadership Workgroup. At a minimum, the State Office will support these efforts through input and support of time of state staff members who are NCRTs.

13.4. Eligible Entity Use of Data: Describe how the state plans to validate that the eligible entities are using data to improve service delivery.

Note: This response will also link to the corresponding assurance, Item 14.12.

The State Office has an expected performance range of 80% - 120% of targeted performance and expenditure rate of 100%. As part of the annual CSBG application process, State Office staff compares proposed performance targets with past performance and expenditure data for each eligible entity. In the event performance or expenditures are outside of the expected levels or

there are other concerns, agencies are required to identify meaningful reason underlying this difference and planned adjustments to bring these within the expected range. Additionally, data collection tools, review and training and technical assistance provided by the State Office for the CSBG-IS/ Annual report serves as an important mechanism to validate the use of data. Lastly, on-site and desktop monitoring conducted by State staff includes review of various levels of data and a dialogue with eligible entities on how this data is collected, utilized, reported and how it supports the effectiveness and efficiency of service delivery.

Community Action Plans and Needs Assessments

13.5. Community Action Plan: Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.

Note: This response will link to the corresponding assurance, Item 14.11.

The State Office requires each eligible entity submit a CSBG application for funding on an annual basis. Through the annual application process, agencies submit a Community Anti-Poverty Plan include a narrative section, an agency strategy for eliminating poverty (e.g. community needs assessment), work plan, budget and plan for monitoring, assessment and evaluation. Key sections of the North Carolina Administrative Code putting forth information on the Community Action Plan include, but may not be limited to: 10A North Carolina Administrative Code, Chapter 97C .0201, 97C .0203, 97C .0204, 97C .0205, 97C .0206, 97C .0207. Requirements for applications of eligible entities are specified in Title 10A North Carolina Administrative Code, Chapter 97C .0106 and are Available at <http://reports.oah.state.nc.us/ncac.asp?folderName=\Title%2010A%20-%20Health%20and%20Human%20Services\Chapter%2097%20-%20Economic%20Opportunity>

13.6. Community Needs Assessment: Describe how the state will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act.

Note: This response will link to the corresponding assurance, Item 14.11.

The State Office requires each eligible entity submit a CSBG application for funding on an annual basis. An agency strategy for eliminating poverty, OEO Form 210, is a required section of the annual application and serves to meet the requirement put forth in the CSBG Act. While OEO Form 210 is the primary tool used to assure the requirement is met, items within the narrative section of the application also provide important information surrounding needs assessment and coordination of services.

Section 14: CSBG Programmatic Assurances and Information Narrative *(Section 676(b) of the CSBG Act)*

14.1. Use of Funds Supporting Local Activities

CSBG Services

14.1a. 676(b)(1)(A) Describe how the state will assure “that funds made available through grant or allotment will be used –

- (A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--
 - (i) to remove obstacles and solve problems that block the achievement of self- sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) to secure and retain meaningful employment;
 - (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
 - (iv) to make better use of available income;
 - (v) to obtain and maintain adequate housing and a suitable living environment;
 - (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
 - (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –
 - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
 - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

Through the annual application process, each eligible entity submits a Community Anti-Poverty Plan inclusive of a narrative section, an agency strategy for eliminating poverty (e.g. community

needs assessment), work plan, budget and plan for monitoring, assessment and evaluation. In turn, each eligible entity determines the use of CSBG funds at the local level based upon the needs and resources in their respective service areas.

North Carolina outlines 8 eligible project models: Self-Sufficiency, Employment, Education, Nutrition, Housing, Income Management, Information and Referral and Emergency Assistance. The majority of eligible entities in North Carolina implement self-sufficiency programs consisting of a comprehensive service delivery system to assist individuals and families with moving from poverty to economic independence. These agencies provide an array of services to families within their agency or in partnership with other human service agencies. Head Start, Workforce Innovation and Opportunity Act, Weatherization and Section 8 Rental Assistance are among the federal programs operated by most North Carolina eligible entities. North Carolina eligible entities also operate federal/state funded projects inclusive of but not limited to employment, nutrition, youth development, senior services and housing.

The State Office requires all eligible entities to report contracted outcomes specific to CSBG funding on a quarterly basis. The most commonly contracted/ reported outcomes include: The number of families served; The number of low-income families rising above the poverty level; The average change in the annual income per participant family experiencing a change; The number of families obtaining employment; The number of families who are employed and obtain better employment; The average wage rate of employed participant families; The number of jobs with medical benefits obtained; The number of families completing education/ training programs; The number of families securing standard housing; The number of participant families provided emergency assistance; The number of families provided employment supports; The number of families provided educational supports. In addition to the annual application process and state CSBG reporting, the CSBG-IS/ Annual report serves as an additional information source used by the State to confirm the support of areas indicated above

Needs of Youth

14.1b. 676(b)(1)(B) Describe how the state will assure “that funds made available through grant or allotment will be used –

- (B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--
 - (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
 - (ii) after-school child care programs;

The NC Department of Health and Human Services works to advance the health, safety, and well-being of all North Carolinians in collaboration with a wide array of partners and stakeholders. Much of this work involves managing the delivery of services to North Carolina’s most vulnerable populations, including children, seniors, people with disabilities, and low-income individuals and families. The Office of Economic Opportunity works with each CSBG eligible entity to conduct activities that promote effectiveness and coordination with other programs related the purposes of CSBG. The Department has a strategic plan that is aligned with three priority areas: Medicaid transformation, the Opioid Action Plan, and Early Childhood Action Plan. To make more effective use of grant funding, priorities from the Office of Economic Opportunity will be aligned with these plans to ensure synchronicity across the Department and alongside CSBG recipients across the state. North Carolina is launching the Healthy Opportunities pilots as part of its Medicaid Transformation efforts. The pilots are an opportunity for payers, providers and community-based organizations to have the tools, infrastructure and financing to integrate non-medical services directly related to improved health outcomes into the delivery of care for many low-income families. Improved health equates to improved wellbeing and other factors that can help lift families out of poverty. The Opioid Action Plan focuses on three key areas to reduce the impact of the opioid epidemic: Prevention, Harm Reduction, and Connections to Care. Strategies in this action plan can be aligned to CSBG’s to increase access to substance abuse treatment and services that will connect those recovering to employment opportunities and housing. North Carolina’s Early Childhood Action Plan (ECAP) outlines a cohesive vision, sets benchmarks for impact by the year 2025, and establishes shared stakeholder accountability to achieve statewide goals for young children from birth through age eight. CSBG alignment with improving outcomes for children supports the goal of strengthening families by mitigating adverse childhood experience that can help lift families out of intergenerational poverty. Other cross-departmental strategic plans such as those addressing TANF and child welfare will be aligned to CSBG programming to increase self-sufficiency, improve living conditions and support strong family and support systems.

Coordination of Other Programs

14.1c. 676(b)(1)(C) Describe how the state will assure “that funds made available through grant or allotment will be used –

- (C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

Based upon the needs and resources in their respective service areas, each CSBG eligible entity is responsible for conducting activities that promote effectiveness and coordination with other programs related the purposes of CSBG. The State Office collects this information in narrative format from each CSBG eligible entity through an annual application for funding process. While each eligible entity is unique in its approach, the tripartite board structure supports coordination and input surrounding effectiveness. Common partners of eligible entities include: Division of Social Services, Workforce Innovation and Opportunity Act providers, community colleges, local businesses, faith-based organizations, civic organizations, and other non-profit

Organizations.

North Carolina enacted a review of its social services delivery system in July 2017. Rylan’s Law, enacted in July 2017, governs a legislatively required, statewide reformation of North Carolina’s social services and child welfare programs. Rylan’s Law provides North Carolina with a blueprint for how we can collectively transform our social services delivery system and speaks to the systemic changes that are needed in the oversight and coordination of programs and services that support vulnerable populations. Eligible entities under CSBG are key stakeholders in the reform of our social services system as they have a common client population. To assure alignment of resources and eliminate redundancy of services it is critical that eligible entities

State Use of Discretionary Funds

14.2. 676(b)(2) Describe “how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle.”

Note: the State describes this assurance under “State Use of Funds: Remainder/Discretionary,” items 7.9 and 7.10

[No response; links to items 7.9 and 7.10.]

Eligible Entity Service Delivery, Coordination, and Innovation

14.3. 676(b)(3) “Based on information provided by eligible entities in the State, a description of...”

Eligible Entity Service Delivery System

14.3a. 676(b)(3)(A) Describe “the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;”

The CSBG Program service delivery system is currently composed of 33 eligible entities, There are 33 private non-profit eligible entities and one public agency. population or service category. Most eligible entities implement a comprehensive service delivery system to assist individuals and families with moving from poverty to economic independence. These agencies provide an array of services to families within their agency or in partnership with other human service agencies. Head Start, Workforce Investment Act, Weatherization and Section 8 Rental Assistance are among the federal programs operated by most North Carolina eligible entities.

Eligible entities also operate federal/state funded projects inclusive of but not limited to employment, nutrition, youth development, senior services and housing. Multi-county eligible entities operate with a central office and neighborhood centers located throughout the service area. In-keeping with the National ROMA goals, North Carolina encourages eligible entities to embrace and execute a Self-Sufficiency (comprehensive case management) projects to better mobilize funding for direct services while also leveraging CSBG funds with other resources.

While this approach may be different from how other states administer CSBG, North Carolina believes it affords us the ability to:

- 1) demonstrate CSBG effectiveness in moving families from poverty based on 125% of the Federal Poverty Guidelines to economic stability and into independence,
- 2) allows us to scale participants progress from In-Crisis to Thriving to demonstrate incremental effectiveness,
- 3) provides agencies with an effective framework for creating meaningful collaborations and generating additional funding to further the agencies goals and
- 4) permits the usage of CSBG for direct services provision to participants not for administrative purposes only.

Eligible Entity Linkages – Approach to Filling Service Gaps

14.3b. 676(b)(3)(B) Describe “how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations.”

Note: The state describes this assurance in the State Linkages and Communication section, item 9.3b.

[No response; links to 9.3b.]

Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources

14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources.”

Note: The state describes this assurance in the State Linkages and Communication section, item 9.7.

[No response; links to 9.7]

Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility

14.3d. 676(b)(3)(D) Describe “how the local entity will use the funds [made available under 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting.”

Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using state remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the state indicates funds allocated for these

activities under item 7.9(f).

Each CSBG eligible entity supports innovative community and neighborhood-based initiatives based upon the needs and resources in their respective service areas. The State Office collects this information in narrative format from each CSBG eligible entity through an annual application for funding process. While each eligible entity is unique in its approach, some examples of support for innovative community and neighborhood-based initiatives include Head Start Programs supporting fatherhood initiatives and targeted collaborations with faith-based organizations, non-profit organizations and organized community groups.

Eligible Entity Emergency Food and Nutrition Services

14.4. 676(b)(4) Describe how the state will assure “that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.”

Each CSBG eligible provides emergency supplies and services to counteract conditions of starvation and malnutrition based upon the needs and resources in their respective service areas. The State Office collects this information in narrative format from each CSBG eligible entity through an annual application for funding process. While each eligible entity is unique in its approach, eligible entities provide direct services to families in these areas and/or assist families access such assistance through referrals or partnerships with community based organizations and county departments of social services who are responsible for the administration of the federal Supplemental Nutritional Assistance Program. Some strategies being utilized to assist families with emergency food needs include the operation of regional food banks, sponsoring supplemental food programs for seniors, and coordinating/sponsoring emergency food box/voucher programs.

State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities

14.5. 676(b)(5) Describe how the state will assure “that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act.”

Note: The state describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

[No response; links to items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b]

State Coordination/Linkages and Low-income Home Energy Assistance

- 14.6. 676(b)(6)** Provide “an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low- income home energy assistance) are conducted in such community.”

Note: The state describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.

[No response; links to 9.2 and 9.5]

Federal Investigations

- 14.7. 676(b)(7)** Provide “an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D.”

Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.

[No response; links to 10.13]

Funding Reduction or Termination

- 14.8. 676(b)(8)** Provide “an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b).”

Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.

[No response; links to 10.7]

Coordination with Faith-based Organizations, Charitable Groups, Community Organizations

- 14.9. 676(b)(9)** Describe how the state will assure “that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.”

Note: The state describes this assurance in the State Linkages and Communication, item 9.6.

[No response; links to 9.6]

Eligible Entity Tripartite Board Representation

- 14.10. 676(b)(10)** Describe how “the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.”

Note: The state describes this assurance under Eligible Entity Tripartite Boards, item 11.3

[No response; links to item 11.3]

Eligible Entity Community Action Plans and Community Needs Assessments

- 14.11. 676(b)(11)** Provide “an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs.”

[No response; links to items 13.5 and 13.6]

State and Eligible Entity Performance Measurement: ROMA or Alternate system

- 14.12. 676(b)(12)** Provide “an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.”

Note: The state describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

[No response; links to 13.1, 13.2, 13.3, and 13.4]

Validation for CSBG Eligible Entity Programmatic Narrative Sections

- 14.13. 676(b)(13)** Provide “information describing how the State will carry out the assurances described in this section.”

Note: The state provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.

[No response for this item]

By checking this box, the state CSBG authorized official is certifying the assurances set out above.

Section 15: Federal Certifications

The box after each certification must be checked by the State CSBG authorized official.

15.1. Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

- By checking this box, the state CSBG authorized official is providing the certification set out above.

15.2. Drug-Free Workplace Requirements

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

- (1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For grantees other than individuals, Alternate I applies.
- (4) For grantees who are individuals, Alternate II applies.
- (5) Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- (6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
- (7) If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
- (8) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of

sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about - -
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

[Click or tap here to enter text.](#)

Check if there are workplaces on file that are not identified here. Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

By checking this box, the state CSBG authorized official is providing the certification set out above.

15.3. Debarment

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - - Primary Covered Transactions

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or

agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -

Primary Covered Transactions

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in

this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (3) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- (4) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (5) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (6) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (7) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

- (8) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (9) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
 - (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
- By checking this box, the state CSBG authorized official is providing the certification set out above.

15.4. Environmental Tobacco Smoke

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

By checking this box, the state CSBG authorized official is providing the certification set out above.